

Docket No. 278600US0PCT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Ulrike LICHT, et al.

SERIAL NO: 10/553,037

GAU:

FILED: October 11, 2005

EXAMINER:

FOR: SELF-EMULSIFYING AQUEOUS POLYURETHANE DISPERSIONS

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☒ Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 dated September 21, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

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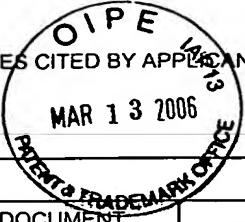
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Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 278600US0PCT		SERIAL NO. 10/553,037	
LIST OF REFERENCES CITED BY APPLICANT 				APPLICANT Ulrike LICHT, et al.			
				FILING DATE October 11, 2005		GROUP	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	6 231 926	05/15/01	RONZANI et al.			
	AB	2004/0077777	04/22/04	LICHT et al.			
	AC	2005/0239954	10/27/05	LICHT et al.			
	AD	2005/0124757	06/09/05	RINK et al.			
	AE	3 639 315	02/01/72	RODRIGUEZ, Jaime			
	AF	2002/0165314	11/07/02	TABOR, Rick L. et al. (equivalent of US2002/010262)			
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						
	AM						
	AN						
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO		
	AO	2004/026932	04/01/04	WO (with English abstract)			NO
	AP	03/083004	10/09/03	WO (with English abstract & equivalent of US2005/0124757))			NO
	AQ	02/064657	08/22/02	WO (with English abstract & equivalent of US2004/077777))			NO
	AR	198 25 453	12/09/99	DE (equivalent of US6 231 926)			NO
	AS	00/29465	05/25/00	WO (equivalent of US2002/032242)			NO
	AT						
	AU						
	AV						
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AW	Houben-Weyl, Methoden der organischen Chemie, Bd. XIV/1, Makromolekulare Stoffe, Georg Thieme-Verlag, Stuttgart, S. 411 - 420, 1961.					
	AX	Houben-Weyl, Methoden der Organischen Chemie, Bd. 14/1, Makromolekulare Stoffe, Georg-Thieme Verlag, Stuttgart, S. 192 - 208, 1961.					
	AY	BLANK, Werner J. et al, Catalysis of the Isocyanate-hydroxyl reaction by onon-tin catalysts, Progress in Organic Coatings, Vo. 35, Pages 19 - 29, 1999.					
	AZ					<input type="checkbox"/> Additional References sheet(s) attached	
Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

U.S. PCT Application Serial No: 10/553,037

Filed: October 11, 2005

Ulrike LICHT, et al.

Docket No. 278600 US



#### STATEMENT OF RELEVANCY

- 1) References AE - AF & AO - AQ have been cited in the International Search Report. A copy of these references is being submitted herewith.
- 2) References            have been cited in the corresponding            Search Report. A copy of these references is being submitted herewith.
- 3) References AR - AS & AW - AY are discussed in the specification. A copy of these references is being submitted herewith.
- 4) References            are additional prior art known to Applicant. A copy of these references is being submitted herewith.



Docket No.: 278600US0PCT

Serial No.: 10/553,037

Inventor: Ulrike LICHT, et al.

LIST OF RELATED CASES CITED BY  
APPLICANT UNDER 37 CFR 1.56

Filing Date: October 11, 2005

Group:

**LIST OF RELATED CASES**

<u>Examiner Initial</u>	<u>Docket No.</u>	<u>Serial or Patent Number</u>	<u>Filing or Issue Date</u>	<u>Patent App. Publication No.</u>	<u>Inventor or Applicant</u>
	278600US0PCT*	10/553,037	10/11/05		LICHT, et al.
	0524-3132-0	6,231,926	05/15/01		RONZANI, et al.
	240712US0XPCT	10/468,107	08/15/03	US2004/0077777 A1	LICHT, et al.
	266110US0XPCT	10/525,941	02/28/05	US2005/0239954 A1	LICHT, et al.
	PER CLIENT	10/505,538	08/23/04	US2005/0124757 A1	RINK, et al.

Examiner

Date Considered

\*Present Application; listed for information  
NFO/hah